



## INFORMATION DISCLOSURE STATEMENT

Applicant : Kurt E. English, *et al.*  
App. No. : 10/663,193  
Filed : September 16, 2003  
For : METHODS FOR FACILITATING  
PRIVATE FUNDING OF EARLY-  
STAGE COMPANIES

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: United States Patent and Trademark Office, PO Box 1450, Alexandria, VA 22313-1450, on

March 10, 2004

(Date)

Louis J. Knobbe, Reg. No. 18,780

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing 10 references. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003. Copies of other references, if listed, are enclosed.

This Information Disclosure Statement is being filed before the mailing date of a final action under 37 C.F.R. § 1.113 and before the mailing date of a Notice of Allowance under § 1.311. A certification under 37 C.F.R. § 1.97(e) is set forth below. Thus, no fee is required as set forth in 37 C.F.R. § 1.97(c).

CERTIFICATION UNDER 37 C.F.R. § 1.97(e)(1)

I hereby certify that each item of information contained in this Statement was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: March 10, 2004

By: [Signature]

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
ANGEL.001C1APPLICATION NO.  
10/663,193INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Kurt E. English, et al.FILING DATE  
September 16, 2003GROUP  
Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1.	5,680,305	10/21/97	Apgar, IV			
	2.	5,970,464	10/29/99	Apte, et al.			
	3.	6,236,977 B1	5/22/01	Verba, et al.			
	4.	6,236,980 B1	5/22/01	Reese			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	5.	WO 01/29751 A1	9/28/00	PCT				
	6.	WO 01/20523 A1	3/22/01	PCT				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
	7.	"Special Features: Venture Capital in OECD Countries" Financial Market Trends, no. 63, February 1996; pg. 15-36
	8.	CABLE, Daniel; SHANE, Scott; "Aprisoner's dilemma approach to entrepreneur-venture capital relationships;" v22n1, pp. 142-176; mJanuary 1997; pg. 1-15
	9.	CARTER, Richard; VAN AUKEN, Howard; "Venture capital firms' preferences for projects in particular stages of development;" Journal of Small Business Management, v32n1, pp. 60-73; January 1994; pg. 1-8.
	10.	MASON, Colin; HARRISON, Richard; "Why 'business angels' say no: A case study of opportunities rejected by an informal investor syndicate;" International Small Business Journal, v14n2, pp. 35-51, January-March 1996; 1-7

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030304

EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	